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PTO/SB/01 (11-00)  
Approved for use through 10/31/2002 OMB 0651-0032  
U.S. Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.

SIG000094

First Inventor

Roderick Holley, II

Title

AUDIO PLAYBACK/RECORDING INTEGRATED CIRCUIT WITH FILTER CO-PROCESSOR

Express Mail Label No.

EV21769831208

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents

## ADDRESS TO:

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

1. ☒ Fee Transmittal Form (e.g. PTO/SB/17)

2. ☒ (submit an original and a duplicate for fee processing)  
Applicant claims small entity status.  
See 37 CFR 1.27.

3. ☒ Specification [Total Pages 38]  
(preferred arrangement set forth below)  
-Descriptive title of the invention  
-Cross Reference to Related Applications  
-Statement Regarding Fed sponsored R&D  
-Reference to sequence listing, a table,  
or a computer program listing appendix  
-Background of the Invention  
-Brief Summary of the Invention  
-Brief Description of the Drawings (if filed)  
-Detailed Description  
-Claim(s)  
-Abstract of the Disclosure

4. ☒ Drawing(s) (35 U.S.C. 113) [Total Pages 12]

5. Oath or Declaration [Total Pages 2]

a. ☒ Newly executed (original or copy)  
Copy from a prior application (37 CFR 1.63 (d))

b. ☐ (for continuation/divisional with Box 18 completed)

i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s)  
named in the prior application, see 37 CFR  
1.63(d)(2) and 1.33(b).

6. ☐ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or  
Computer Program (Appendix)

8. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)

a. ☐ Computer Readable Form (CRF)

b. ☐ Specification Sequence Listing on:

i. ☐ CD-ROM or CD-R (2 copies); or

ii. ☐ paper

c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☒ Assignment Papers (cover sheet & documents(s))

10. ☐ 37 CFR 3.73(b) Statement ☒ Power of  
(when there is an assignee) Attorney

11. ☐ English Translation Document (if applicable)

12. ☐ Information Disclosure ☐ Copies of IDS  
Statement (IDS)/PTO-1449 Citations

13. ☐ Preliminary Amendment

14. ☒ Return, Receipt Postcard (MPEP 503)  
(Should be specifically itemized)

15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)

16. ☐ Request and Certification under 35 U.S.C. 122  
(b)(2)(B)(i). Applicant must attach form PTO/SB/35  
or its equivalent.

17. ☐ Other:

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment,  
or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No. \_\_\_\_\_

Prior application information: Examiner: \_\_\_\_\_ Group Art Unit: \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under  
Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference.  
The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label 34 399 or ☒ Correspondence address below

Name Bruce E. Garlick

Address P.O. Box 160727

City Austin

State TX

Zip Code 78716-0727

Country USA

Telephone 512-264-8816

FAX 512-264-3735

Name (Print/Type)

Bruce E. Garlick

Registration No. (Atty/Agent)

36,520

Signature

*B. E. Garlick*

Date

6/27/03

SEND TO: Assistant Commissioner for Patents, Washington, DC 20231

17650 U.S. P.S.  
10/607951  
06/27/03

18304 U.S. PTO  
06/27/03

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# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$) \$469.00

## Complete if Known

Application Number	
Filing Date	
First Named Inventor	Roderick Holley, II
Examiner Name	
Group Art Unit	
Atty Docket No.	SIG000094

## METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number   
Deposit Account Name

☐ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

☒ Applicant claims small entity status. See 37 CFR 1.27

2. ☐ Payment Enclosed:

☐ Check ☐ Credit card ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

Fee Description	Fee Paid
Utility filing fee	375.00
Design filing fee	
Plant filing fee	
Reissue filing fee	
Provisional filing fee	
<b>SUBTOTAL(1)</b>	<b>(\$)</b> 375.00

### 2. EXTRA CLAIM FEES

Fee From Below

Extra Claims		Fee Paid
Total Claims	26 -20** 6 X 9 =	\$4.00
Independent Claims	3 -3** 0 X 42 =	0.00
Multiple Dependent		

#### Fee Description

Claims in excess of 20  
Independent claims in excess of 3  
\*\*Reissue independent claims over original patent  
\*\*Reissue claims in excess of 20 and over original patent

**SUBTOTAL (2)** (\$) 54.00

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

#### Fee Description

Surcharge-late filing fee or oath  
Surcharge-late provisional filing fee or cover sheet  
Non-english specifications  
For filing a request for ex parte reexamination  
Requesting publication of SIR prior to Examiner action  
Requesting publication of SIR after Examiner action  
Extension for reply within first month  
Extension for reply within second month  
Extension for reply within third month  
Extension for reply within fourth month  
Extension for reply within fifth month  
Notice of Appeal  
Filing a brief in support of appeal  
Request for oral hearing  
Petition to institute a public use proceeding  
Petition to revive - unavoidable  
Petition to revive unintentional  
Utility Issue Fee (or reissue)  
Design Issue Fee  
Plant Issue Fee  
Petitions to the Commissioner  
Processing fee under 37 CFR 1.17(q)  
Submissions of Information Disclosure Stmt  
Recording each patent assignment per property (times number of properties)  
Filing a submission after final rejection (37 CFR 1.129(a))  
For each additional invention to be examined (37 CFR 1.129(b))  
Request for Continued Examination (RCE)  
Request for expedited Examination of design application  
Other fee (specify)

Reduced by Basic Filing Fee Paid

**SUBTOTAL (3)**

\$40.00

\$40.00

## SUBMITTED BY

Complete (if applicable)

Name (Print Type)	Bruce E. Garlick	Registration No.	36,520	Telephone	512-264-8816
Signature		(Attorney Agent)		Date	6/27/03

SEND TO: Assistant Commissioner for Patents, Washington, DC 20231